

CHAPTER: 500

Personnel/Human Resources

DEPARTMENT ORDER:

521 – Employee Assistance Program

**OFFICE OF PRIMARY
RESPONSIBILITY:**

**DD
OPS**

Effective Date:

May 6, 2022

Amendment:

N/A

Supersedes:

DO 521 (9/23/17)

Scheduled Review Date:

October 1, 2024

ACCESS

Contains Restricted Section(s)

Arizona Department of Corrections Rehabilitation and Reentry



Department Order Manual

A handwritten signature in black ink, appearing to read "David Shinn", is written over a horizontal line.

David Shinn, Director

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EXPECTED PRACTICES

American Correctional Association (ACA) Expected Practices: 5-ACI-1C-24

PURPOSE

This Department Order establishes uniform procedures for providing immediate support to employees who are traumatized emotionally or physically in a critical incident in an effort to mitigate the effects of the incident. This Department Order further provides support and assistance to family members of staff who have been injured or died in the line of duty. {5-ACI-1C-24}

APPLICABILITY

This Department Order does not create a contract for employment between any employee and the Department. Nothing in this Department Order changes the fact that all uncovered employees of the Department are at-will employees and serve at the pleasure of the appointing authority.

This Department Order applies to all staff.

PROCEDURES

1.0 PROGRAM OVERVIEW – In recognition of the unique environment presented in a correctional setting, the Employee Assistance Program provides essential tools for Department employees and their families to cope with unusual circumstances and/or the stress associated with this environment. The State’s Employee Assistance Program provides professional services which include psychological counseling, financial planning, legal assistance, and community assistance for issues such as aging parents. Critical incident/trauma debriefing services are also provided on an as-requested basis and are arranged through the Department’s Chief Human Resources Officer. The Department also provides on-site, volunteer assistance through its Critical Incident Response Teams (CIRT).

1.1 Use of Services

- 1.1.1 Except where noted, employee participation shall be on a voluntary basis.
- 1.1.2 Employees or their immediate family members where appropriate, may request services from any portion of the program or from a number of sources. Psychological counseling services through the Employee Assistance Program are limited to 12 sessions per issue per calendar year.
- 1.1.3 If necessary or desired by the employee, staff members who participate in providing services may advise employees and their families regarding non-Department services available in addition to those provided by the Department.

1.2 CIRT members:

- 1.2.1 Assigned to a prison complex shall be direct reports to the Deputy Warden of Operations of their respective complex when mobilized. If this position is vacant, CIRT members shall report to the Warden.
- 1.2.2 Assigned to a non-institutional area of operation shall report to their Administrator.

1.2.3 Shall assist in providing intervention and peer support services for employees involved in or adversely affected by catastrophic situations encountered in the course of their work duties.

1.2.3.1 In addition to team activities involving a critical incident, team members may act as peer support and a referral source for employees who are encountering stressful situations and who may need professional assistance.

1.2.3.2 The team leader shall call meetings at least quarterly and/or as needed.

1.3 Employee Death or Incapacitating Injury In the Line of Duty – The Department shall notify the appropriate family member/emergency contact in the event of an employee death or the employee sustains an incapacitating injury in the line of duty. To the extent desired by the family, the Department shall provide support, and if deemed appropriate, shall assist the family with funeral arrangements. The Media Relations Office shall serve as the initial contact with the media and, if desired by the family, serve as the on-going contact with the media.

1.4 Employee Death or Incapacitating Injury Off Duty – While the Department may not be directly involved, the Department may be tasked with notifying a family member/emergency contact of an incident. In addition, while not to the degree of an in the line of duty incident, support for the family may be appropriate and thus offered by the appropriate Warden or Bureau Administrator, upon notification and approval of their Assistant Director.

1.5 Any deviation to the guidelines set herein shall require approval of the CIRT Program Coordinator.

2.0 GENERAL RESPONSIBILITY – The Employee Assistance Program relies on a variety of intervention and family support services.

2.1 Under the direction of the CIRT Program Coordinator, employees may volunteer to serve as CIRT leaders and members. The CIRT Program Coordinator shall maintain oversight of the CIRT program, as well as evaluate the tenure of each member and rotate members in and out of the CIRT program to prevent burnout.

2.1.1 CIRT members shall successfully complete CIRT training prior to activation/response.

2.1.2 CIRT members, trained in crisis intervention skills, shall respond to employees in crisis using appropriate techniques; and may assist employees by offering appropriate referral services.

2.1.3 Assignment to CIRT duty is voluntary and involves no reclassification activity or salary adjustment. All activities of team leaders and/or members are considered supplemental to regular job responsibilities.

2.1.4 Assignment to CIRT duty shall be approved through the applicant's chain of command prior to the assignment occurring.

2.2 The Media Relations Office shall be primarily responsible for any media release involving any critical incident resulting in the death, hostage taking, or incapacitating injury of an employee. The Department shall not release any personal identifying information until the employee's next of kin has been notified and provides consent.

3.0 CRITICAL INCIDENT RESPONSE TEAM MEMBER SELECTION

- 3.1 Each prison complex shall have one team leader, and shall have no more than a total of 20 CIRT members.
- 3.2 The CIRT Program Coordinator, in consultation with Assistant Directors, shall determine the number of CIRT leaders and members for non-institutional areas of operation.
- 3.3 A staff member who wishes to serve as a CIRT leader or member shall complete a CIRT training course and a Critical Incident Response Team Application, Form 521-1.
 - 3.3.1 The application shall be submitted to the CIRT leader at the staff member's duty post. The CIRT leader shall conduct an interview and forward recommended applications to the Deputy Warden of Operations, or Warden if the Deputy Warden of Operations position is vacant. For non-institutional staff, the recommended applications shall be forwarded to the appropriate Administrator.
- 3.4 The Warden, Bureau Administrator, Assistant Director, as appropriate, shall forward approved applications to the CIRT Program Coordinator who shall notify, in writing, the applicants who are selected and add them to the master roster.
- 3.5 Past or pending disciplinary action and the display of professional behavior shall be considered in the final selection process and may preclude an individual from selection.
- 3.6 To avoid conflict with professional standards or other conflicts of interest, employees in the following categories may be precluded from becoming a CIRT leader or member:
 - 3.6.1 Investigators
 - 3.6.2 Tactical Support Unit (TSU)
 - 3.6.3 Chase Team
 - 3.6.4 Canine Unit
 - 3.6.5 Others as determined by the Warden, Deputy Warden of Operations, non-institutional Administrator and/or CIRT Program Coordinator, in consultation with the Chief Human Resources Officer.
- 3.7 Applications that are disapproved at any level shall be returned to the applicant with a brief explanation of the denial. Non-selection is not grievable.

4.0 CRITICAL INCIDENT RESPONSE TEAM ACTIVITIES

- 4.1 CIRT Assignments – CIRT leaders shall provide written team rosters to the Deputy Warden of Operations, non-institutional Administrators, and CIRT Program Coordinator. The CIRT Program Coordinator shall maintain a Department-wide master CIRT roster.
- 4.2 CIRT Activation
 - 4.2.1 Each CIRT shall have a written mobilization plan in place that has been approved by the CIRT Program Coordinator, Deputy Warden of Operations or the non-institutional Administrator.

- 4.2.1.1 Mobilization shall occur as soon as possible during or after a critical incident. The Warden or designee shall be the approving authority for the mobilization of CIRT at the complex level. Briefings and mission objectives shall be relayed to the responding CIRT members.
- 4.2.1.2 Activation of all or part of CIRT may be made dependent upon the type and scope of the incident and the number of employees involved. The Deputy Warden of Operations or non-institutional Administrator shall make the final determination.
- 4.2.1.3 Activated CIRT members shall be issued a two-way radio as needed to ensure regular communications and safety.
- 4.2.2 The Assistant Director, Warden, Deputy Warden of Operations or non-institutional Administrator shall after a critical incident request a CIRT response for employees who were directly or indirectly involved in the incident. Interventions shall be held as soon as practical.
- 4.2.3 The Assistant Director, Warden or Deputy Warden of Operations shall activate CIRT for an appropriate incident or series of incidents. This may include any situation involving staff victimization such as threats of violence by inmates or a security threat group.
- 4.2.4 A CIRT member shall:
 - 4.2.4.1 Make direct contact with involved staff and allow the staff member to accept or decline assistance; this may include telephonic contact.
 - 4.2.4.2 Be part of an in person notification to family/emergency contact, and shall provide immediate assistance/support to the family, provided the family makes such a request. Approval from the Deputy Warden of Operations or non-institutional Administrator and/or CIRT Program Coordinator for such assistance shall be obtained in advance.

4.3 Critical Incident Functions

- 4.3.1 Upon activation, the CIRT leader shall:
 - 4.3.1.1 Evaluate the situation.
 - 4.3.1.2 Determine the action to be taken and set-up CIRT Command.
 - 4.3.1.3 Advise and consult with the Deputy Warden of Operations or non-institutional Administrator.
 - 4.3.1.4 Contact and activate team members.
 - 4.3.1.5 In consultation with the Incident Commander or the senior on-site management official, coordinate on-scene intervention and assistance.
 - 4.3.1.6 Advise and consult with the CIRT Program Coordinator as needed.

- 4.3.2 CIRT members shall advise employees that, prior to communicating with other CIRT team members, confidentiality does not apply when disclosure is required by statute or Department written instruction such as criminal conduct and/or serious violations of Department written instruction or when circumstances indicate employees are likely to be a danger to themselves or others. For CIRT confidentiality guidelines see Attachment A.
 - 4.3.2.1 If there is any uncertainty about confidentiality, the CIRT member shall contact the Deputy Warden of Operations or non-institutional Administrator, and/or the CIRT Program Coordinator through the team leader.
 - 4.3.2.2 If disclosure of information is necessary, the team member shall inform the team leader who shall disclose the information to the Deputy Warden of Operations or non-institutional Administrator, and/or the CIRT Program Coordinator of the circumstances, as soon as possible.
 - 4.3.2.3 If determined by the Deputy Warden of Operations, non-institutional Administrator or CIRT Program Coordinator, that immediate response and attention is required, the team member shall disclose all information about the situation, including the identity of the employee involved in order to ensure that necessary steps shall then be initiated to address the matter appropriately.
- 4.4 Mandatory Interventions – A CIRT response and appropriate resource referrals, is warranted for the following critical incidents:
 - 4.4.1 In the line of duty death
 - 4.4.2 Correctional staff involved shooting
 - 4.4.3 Hostage situation
 - 4.4.4 Incapacitating injury in the line of duty
 - 4.4.5 Staff assault
 - 4.4.6 Following an inmate execution
 - 4.4.7 Any situation where staff members are involved in life saving measures, such as a CPR response to an inmate, employee or other persons on site
 - 4.4.8 Upon discovery of an inmate suicide, suicide attempt or physical injury resulting from an attempt
- 4.5 Employees or family members may refuse CIRT services.
- 4.6 Employee Referral Services
 - 4.6.1 In addition to duties associated with critical incidents, and other official CIRT activities, and after confirming with the Warden or Bureau Administrator, team leaders and members may provide peer support and referral services for employees who may be under stress from a temporary crisis such as:
 - 4.6.1.1 Addictive behavior or relapse

- 4.6.1.2 Family crisis
- 4.6.1.3 Post-traumatic stress
- 4.6.1.4 Job-related stress
- 4.6.1.5 Financial difficulties
- 4.6.1.6 Military activation
- 4.6.1.7 Return from military active duty
- 4.6.2 This service may be limited to referring the employee to the appropriate contract service or other outside services. Any employee may consult with a team leader or member for appropriate referral service. CIRT members shall follow up, at least once after the initial contact, to ensure the employee has made appropriate connections for assistance.
- 4.7 Record Keeping and Documentation
 - 4.7.1 Team leaders and members shall only record numbers of interventions and contacts.
 - 4.7.2 The CIRT leaders shall provide the CIRT Monthly Activity Report, Form 521-3 to the Deputy Warden of Operations and CIRT Program Coordinator, with a copy to the Warden, by the tenth day of each month summarizing services provided during the preceding month.
- 4.8 Use of Overtime
 - 4.8.1 Every effort shall be made to use on duty CIRT personnel to provide intervention services.
 - 4.8.2 The affected Assistant Director, through the Warden or Bureau Administrator, shall approve or decline the use of overtime in accordance with Department Order #512, Employee Pay, Work Hours, Compensation and Leave, for intervention services.
 - 4.8.3 Team members shall use flex time whenever possible.
- 4.9 Team Deployment Outside of Assigned Area – During large scale critical incidents, the Deputy Warden of Operations and the CIRT Program Coordinator or designee shall coordinate team deployment for institutions, units or other agencies outside of the team’s assigned area. Pre-trained and CIRT Program Coordinator approved teams from other agencies may be used to supplement Department teams.
- 4.10 Training – The CIRT Program Coordinator shall ensure compliance with applicable training standards.
- 4.11 Removal From the CIRT – The CIRT Program Coordinator or Deputy Warden of Operations, in consultation with the Warden for institutional staff or the Assistant Director for non-institutional staff, may remove a team member or leader from the program.
 - 4.11.1 Justification for the removal shall be documented in the CIRT file.
 - 4.11.2 Any such removal is not appealable or grievable.

5.0 PSYCHOLOGICAL COUNSELING – In addition to CIRT or other services, employees may voluntarily seek psychological counseling.

5.1 Employees may, at their own expense, obtain alternative forms of counseling and assistance through one of the state’s health insurance providers or another provider of their choice.

5.2 Employees may use sick leave for voluntary psychological counseling sessions.

5.3 Voluntary Substance Abuse/Addictions Counseling

5.3.1 Employees who are concerned about their use of substances and/or other addictive behaviors are strongly encouraged to voluntarily seek assistance to resolve those concerns.

5.3.2 Voluntary admittance to addictions counseling does not negate the employee of the responsibility to uphold and comply with the laws of this state and to maintain an acceptable job performance level. Employees administratively determined to be in violation of statutes, rules or Department written instructions, or who continue to display patterns of deteriorating job performance shall be subject to disciplinary action, up to and including dismissal.

5.3.3 Employees may use sick leave with the approval of their supervisor for qualifying voluntary addictions counseling sessions.

5.3.4 Supervisors shall take a proactive role in recognizing employees who have an addiction problem. Every effort shall be made to encourage and assist employees to seek addiction counseling.

5.4 Critical Incident or Post-Trauma Counseling – In addition to CIRT activities outlined in section 4.0 of this Department Order, and in an effort to counter any immediate or delayed adverse psychological reaction to an incident:

5.4.1 Employees who are direct participants in a shooting incident or deal with, or are victims of critical incidents such as a major disturbance/assault, hostage situation or inmate execution, shall be encouraged to receive psychological counseling as soon as practical following the incident. This may be provided onsite, through the Employee Assistance Program.

5.5 Confidentiality

5.5.1 The results of any post-trauma evaluation/counseling ordered by the Department shall only be shared with the Department Employee Assistance Office. A briefing shall be provided regarding the outcome of the results to the employee’s Assistant Director and/or Warden/Bureau Administrator.

5.5.2 An employee who is receiving counseling shall be entitled to keep the contents of his/her counseling in strict confidence between the employee and his/her provider.

6.0 EMPLOYEE DEATH OR INCAPACITATING INJURY/SURVIVOR SUPPORT – The Department recognizes the need to consistently provide a timely response to an employee’s death or incapacitating injury regardless of whether the incident occurs on or off duty.

- 6.1 In the Line of Duty Notification Process – If confirmed information is received that an employee has sustained incapacitating injury or death while on duty, the appropriate Assistant Director, Warden, Deputy Warden, Bureau Administrator or CIRT member shall immediately notify the CIRT Program Coordinator of the incident.
 - 6.1.1 The CIRT Program Coordinator shall ensure that designated CIRT member(s) are directed to respond to the immediate family/emergency contact.
 - 6.1.2 After the immediate family/emergency contact has been notified, the team members may proceed to make other notifications as directed or necessary. Designated CIRT members may offer to arrange to stay with the immediate family as necessary. Confidentiality of records shall be maintained in accordance with the Attachment A and Department Order #507, Employee Records.
 - 6.1.3 If at any time the family wishes for the Department to have no further involvement, CIRT members shall end contact.
- 6.2 Off Duty Employee Notification Process – Any staff member who becomes aware that an off duty employee has died or has sustained an incapacitating injury shall notify their supervisor and the Human Resource Liaison. The Human Resource Liaison shall notify the employee’s Assistant Director, Warden, Deputy Warden of Operations or Bureau Administrator who shall immediately notify the CIRT Program Coordinator and the Media Relations Office.
- 6.3 Notification Coordination – If other Agencies/Law Enforcement Officials are involved, appropriate communication and/or coordination shall take place to ensure that family members are not notified prior to clearance by the investigating agency.
- 6.4 Report Requirements – An employee death or incapacitating injury while in the line of duty requires a Significant Incident Report, Form 105-3, in accordance with Department Order #105, Information Reporting. An off duty incident may require a significant incident report.
 - 6.4.1 Reporting staff shall ensure that Significant Incident Reports, and employee health related reports outlined in Department Order # 519, Employee Health – State/Federal Programs and Assignment, are completed as required.
- 6.5 In the Line of Duty Death - Response and Support – The appropriate Administrator shall appoint a Department representative to assist the family and act as the Family Support Liaison. The Family Support Liaison shall serve as a link between the Department and the deceased employee’s family. The CIRT Program Coordinator shall:
 - 6.5.1 Prepare a letter to the appropriate survivor for the Chief Human Resources Officer or designee’s signature notifying them of the appointment. The letter shall be delivered as soon as practical.
 - 6.5.1.1 The family is not required to accept the services of the Family Support Liaison or may request the services of a different individual.
 - 6.5.2 If the employee’s death was the result of a crime, coordination and notification with the Department’s Office of Victim Services shall be facilitated.
 - 6.5.3 Ensure that Department acknowledgment, such as follow-up letters or phone calls from the appropriate employees are made to the surviving family.

- 6.5.4 Facilitate obtaining the Director’s approval for individuals who are seeking Department recognition of the deceased employee such as plaques, awards or monuments.
- 6.5.5 Prepare a letter to the survivors for the Director's signature, recognizing the employee’s service to the state and Department.
- 6.5.6 Inform the Media Relations Office of any memorial accounts/funds to assist the family.
- 6.6 The 100 Club – Whenever a Correctional Officer is seriously injured or killed in the line of duty, the Assistant Director for Prison Operations or designee shall notify the 100 Club Liaison in the Employee Assistance Office, who shall notify the 100 Club of the situation. Benefits may be paid at the discretion of the 100 Club.
- 6.7 Catastrophic Events – Other catastrophic events in the workplace and require notification and/or employee or family support. These situations shall be addressed on a case-by-case basis at the discretion of the Director.

DEFINITIONS/GLOSSARY

Refer to the Glossary of Terms for the following:

- 100 Club
- Crisis Intervention
- Critical Incident Response Team (CIRT)
- Critical Incident Response Team (CIRT) Program Coordinator
- Critical Incidents
- Family Support Liaison
- In The Line Of Duty
- Incapacitating Injury
- Off-Duty Death
- On-Duty Death
- Suicide

ATTACHMENTS

Attachment A - Critical Incident Response Team Confidentiality Guidelines

FORMS LIST

521-1, Critical Incident Response Team Application
521-3, Critical Incident Response Team Monthly Activity

AUTHORITY

United States Code, Title 36, Chapter 10, 173-177

ATTACHMENT A

CRITICAL INCIDENT RESPONSE TEAM CONFIDENTIALITY GUIDELINES

Peer support interventions and conversations are not always considered legally “privileged” communication. In order for peer assistance to be effective, however, a certain degree of privacy and safety must be guaranteed. These guidelines are designed to assist CIRT members in discerning appropriate, professional action.

1. A CIRT member who determines a person is potentially a danger to themselves or others must take action to advise appropriate authorities/parties. This includes, but is not limited to:
 - a) suicidal ideation
 - b) homicidal thoughts/intent
 - c) child abuse
 - d) addictive behavior that compromises the safety of others
2. CIRT members may talk to other CIRT members regarding a situation or individual in order to ensure that appropriate assistance is provided. These conversations should be held in person or by phone, away from others who might overhear. Sensitive information should never be sent by email or put in writing. No staff member or their specific situation should be discussed at a team meeting.
3. CIRT members are not responsible for providing information about critical incidents to other staff. Decisions regarding the release of information and the methodology lie with the Wardens or other administrators. CIRT may make suggestions, or be directed to deliver information at briefings or other venues, but should not initiate the dissemination of sensitive information. Never pass on information about a critical incident that has not been confirmed and approved.
4. CIRT members may not pass on any medical diagnosis or prognosis without the express written consent of the individual.
5. CIRT members are not qualified to render an opinion about a staff member’s mental health or fitness for duty. If asked to provide an opinion, a CIRT member should state they are not qualified to do so.
6. CIRT members may provide administration/supervisors a “heads-up” as a result of information received while providing CIRT assistance. This may include concerns expressed by staff, issues that are “brewing,” and staff requests that may improve a situation. Specific sources of information or names of individuals should not be disclosed without permission of the speaker.
7. CIRT members should not keep sensitive, written information on any individual. CIRT reports should include only non-identifying demographics, incident types, referrals provided and other statistical information.
8. CIRT members must be cognizant of Department policies and reporting requirements. During an intervention, if the person being assisted initiates conversation about a topic that a CIRT member must report (i.e., Equal Employment Opportunity issues, policy violations, etc.), the CIRT member should stop the conversation. At this point, the CIRT member may make an appropriate referral and/or advise that if the conversation continues, they may have to report the information. If it is an Equal Employment Opportunity issue, the CIRT member should explain the proper reporting channels and the importance of reporting.
9. CIRT members who are supervisors should be aware of potential role conflicts. When practicable, members should not provide CIRT assistance to persons under their direct supervision.

10. CIRT members should encourage staff to talk directly with other parties about their sensitive issues, rather than being an intermediary. If for any reason a CIRT member must disclose an individual's identity and issues to any party other than another CIRT member, they should secure permission or advise the individual.
11. CIRT members that are unsure about the appropriate way to handle a confidentiality issue should consult with a team leader. Team leaders may consult with the CIRT Program Coordinator.